

07-20-00

A

<b>UTILITY PATENT APPLICATION TRANSMITTAL</b> (New Nonprovisional Applications Under 37 CFR § 1.53(b))	Attorney Docket No. <u>SYMXP002</u>
---	--

TO THE ASSISTANT COMMISSIONER FOR PATENTS:

jc860 U.S. PTO  
07/19/00

jc836 U.S. PTO  
09/619416  
07/19/00

Transmitted herewith is the patent application of ( ) application identifier or (X) first named inventor, LYNN VAN ERDEN, entitled HIGH PRESSURE PARALLEL BATCH REACTOR, for a(n):

- (X) Original Patent Application.
- ( ) Continuing Application (prior application not abandoned):  
     ( ) Continuation ( ) Divisional ( ) Continuation-in-part (CIP)  
     of prior Application No. \_\_\_\_\_, filed \_\_\_\_\_.
- ( ) Please add after the title of the application "This is a  
     ( ) Continuation ( ) Divisional ( ) Continuation-in-part (CIP)  
     of Application No. \_\_\_\_\_, filed \_\_\_\_\_, which is hereby incorporated by reference."
- ( ) This application claims the benefit of U.S. Provisional Application  
     No. \_\_\_\_\_, filed \_\_\_\_\_.

Enclosed are:

- (X) Specification; 37 Total Pages. (X) Drawing(s); 10 Total Sheets.
- (X) Oath or Declaration:  
     (X) A Newly Executed Combined Declaration and Power of Attorney:  
         (X) Signed. ( ) Unsigned. ( ) Partially Signed.  
     ( ) A Copy from a Prior Application for Continuation/Divisional (37 CFR § 1.63(d)).  
     ( ) Signed Statement Deleting Inventor(s) Named in the Prior Application. (37 CFR § 163(d)(2)).
- ( ) Power of Attorney. (X) Return Receipt Postcard.  
     ( ) Associate Power of Attorney. (X) A Check in the amount of \$703.00 for the Filing Fee.  
     ( ) Preliminary Amendment. ( ) Information Disclosure Statement and Form PTO-1449.  
     ( ) A Duplicate Copy of this Form for Processing Fee Against Deposit Account.  
     ( ) A Certified Copy of Priority Documents (if foreign priority is claimed).
- (X) Statement(s) of Status as a Small Entity.  
     ( ) Statement(s) of Status as a Small Entity Filed in Prior Application, Status Still Proper and Desired.
- (X) Other: Assignment to Symyx Technologies, Inc.

CLAIMS AS FILED				
FOR	NO. FILED	NO. EXTRA	RATE	FEE
Total Claims	51	31	\$9.00	\$ 279.00
Independent Claims	4	1	\$39.00	\$ 39.00
Multiple Dependent Claims (if applicable)				\$0.00
Assignment Recording Fee				\$40.00
Basic Filing Fee				\$345.00
Total Filing Fee				\$703.00

At any time during the pendency of this application, please charge any fees required or credit any overpayment to Deposit Account No. 50-0685 (Order No. SYMXP002).

Respectfully submitted,  
 By: Cindy Kaplan  
 Cindy Kaplan, Reg. No. 40,043

Date: July 19, 2000

Correspondence Address:

**Customer No. 21912**  
 Ritter, Van Pelt and Yi LLP  
 4906 El Camino Real Suite 205  
 Los Altos, CA 94022  
 Phone: 650 903 3500  
 Fax: 650 903 3501

I hereby certify that this is being deposited with the U.S. Postal Service "Express Mail Post Office to Addressee" service under 37 CFR § 1.10 on the date indicated below and is addressed to:

Assistant Commissioner for Patents  
 Box Patent Application  
 Washington, D.C. 20231

By: Jack Limper  
 Typed Name: Jack Limper

Express Mail Label No.: EL623885108US

Date of Deposit: July 19, 2000

Applicant/Patentee: Van Erden et al.

Application or Patent No. Unassigned

Atty Docket # SYMXP002

Filed or Issued: Herewith

VERIFIED STATEMENT (DECLARATION) CLAIMING SMALL ENTITY STATUS  
37 CFR 1.9(f) and 1.27(c)--SMALL BUSINESS CONCERN

I hereby declare that I am

☐ the owner of the small business concern identified below:

☒ an official empowered to act on behalf of the small business concern identified below:

NAME OF CONCERN: Symyx Technologies, Inc.

ADDRESS: 3100 Central Expressway, Santa Clara, CA 95051

I hereby declare that the above identified small business concern qualifies as a small business concern as defined in 13 CFR 121.3-18, and reproduced in 37 CFR 1.9(d), for purposes of paying reduced fees under 41(a) and (b) of Title 35, U.S. Code, in that the number of employees of the concern, including those of its affiliates, does not exceed 500 persons. For purposes of this statement, (1) the number of employees of the business concern is the average over the previous fiscal year of the concern of the persons employed on a full-time, part-time or temporary basis during each of the pay periods of the fiscal year, and (2) concerns are affiliates of each other when either, directly or indirectly, one concern controls or has the power to control the other, or a third party or parties controls or has the power to control both.

I hereby declare that rights under contract or law have been conveyed to and remain with the small business concern identified above with regard to the invention entitled: HIGH PRESSURE PARALLEL REACTOR, by inventor(s) Van Erden et al., described in

☒ the specification filed herewith.

☐ Application No. \_\_\_\_\_ filed \_\_\_\_\_

☐ patent # \_\_\_\_\_ issued \_\_\_\_\_

If the rights held by the above-identified small business concern are not exclusive, each individual, concern or organization having rights to the invention is listed below\* and no rights to the invention are held by any person, other than the inventor, who could not qualify as a small business concern under 37 CFR 1.9(d) or by any concern which would not qualify as a small business concern under 37 CFR 1.9(d) or a nonprofit organization under 37 CFR 1.9(e). \*Note: separate verified statements are required from each named person, concern or organization having rights to the invention averring to their status as small entities. (37 CFR 1.27)

Name: \_\_\_\_\_

Address: \_\_\_\_\_  
☐ individual ☐ small business concern ☐ nonprofit organization

I acknowledge the duty to file, in this application or patent, notification of any change in status resulting in loss of entitlement to small entity status prior to paying, or at the time of paying, the earliest of the issue fee or any maintenance fee due after the date on which status as a small entity is no longer appropriate. (37 CFR 1.28(b)).

• I hereby declare that all statements made herein of my own knowledge are true and that all statements made on information and belief are believed to be true; and further, that these statements were made with the knowledge that willful false statements and the like so made are punishable by fine or imprisonment, or both, under 1001 of Title 18 of the U.S. Code, and that such willful false statements may jeopardize the validity of the application, any patent issuing thereon, or any patent to which this verified statement is directed.

NAME OF PERSON SIGNING: Ronald A. Krasnow

TITLE IN ORGANIZATION: Vice President, Chief Patent Counsel

SIGNATURE

*Ronald A. Krasnow*

DATE

7-18-00

006720" 9147560